FORM PTO-1083/Modified      **IBM Docket No.**      STL000025US1

**In re application of:**   ⬤illiam J. Baer, et al. **Serial No.** ⬤ 09/489,561   *sector 8*

**Filed:** January 21, 2000          **Group Art Unit:** 2762

**Title:** Method and Configurable Model for Storing Hierarchical Data in a Non-
Hierarchical Data Repository

ASSISTANT COMMISSIONER FOR PATENTS
WASHINGTON, DC 20231

[stamp: OIPE JUN 0 5 2000 PATENT & TRADEMARK OFFICE]

SIR:
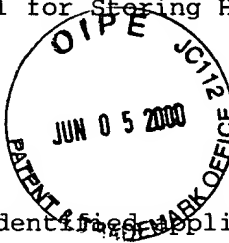
Transmitted herewith in the above-identified application are:

X  Notice to File Missing Parts ($130.00)
X  Declaration and Power of Attorney
X  Return Postcard

The fee has been calculated as shown below:

| CLAIMS REMAINING AFTER AMENDMENT | HIGHEST NO. PREVIOUSLY PAID FOR | PRESENT EXTRA | | RATE | ADDIT. FEE |
|---|---|---|---|---|---|
| TOTAL | MINUS 20 | = 0 | | x 18 = | $ .00 |
| INDEP. | MINUS 3 | = 0 | | x 78 = | $ .00 |
| FIRST PRESENTATION OF MULTIPLE DEP. CLAIM | | | | +260 = | $ |
| | | | | Surcharge | $ |
| | | | | TOTAL | $ |

X  Please charge my Deposit Account No. __09-0460__ in the amount of $130.00.
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X  The Commissioner is hereby authorized to charge payment of the following fees
associated with this communication or credit any overpayment to Deposit
Account__09-0460__. **A duplicate copy of this sheet is attached.**

     X  Any filing fees under 37 CFR 1.16 for the presentation of extra claims.
     X  Any patent application processing fees under 37 CFR 1.17.

Sincerely,
William J. Baer, et al.

**CERTIFICATE OF MAILING**

I hereby certify that the above paper/fee is
being deposited with the United States Postal
Service as first class mail in an envelope
addressed to the Assistant Commissioner for
Patents, Washington, DC 20231 on
_May 31, 2000_
Person Mailing paper/fee
**Jeanette B. Durbin.**

Signature _[signature: Jeanette B. Durbin]_

Ingrid M. Foerster
Registration No. 36,511
Attorney for Applicant(s)
Telephone (408) 463-5675
IBM Corporation
Intellectual Property Law
Dept. J46/G467
555 Bailey Avenue
San Jose, CA 95141-1003

06/07/2000 SSESHE1 00000012 090460 09489561

01 FC:105 130.00 CH

# FILING RECEIPT

\*OC000000005037110\*

## UNITED STATES DEPARTMENT OF COMMERCE
## Patent and Trade mark Office

Address: ASSISTANT SECRETARY AND
COMMISSIONER OF PATENT AND TRADEMARKS
Washington, D.C. 20231

| APPLICATION NUMBER | FILING DATE | GRP ART UNIT | FIL FEE REC'D | ATTY.DOCKET.NO | DRAWINGS | TOT CLAIMS | IND CLAIMS |
|---|---|---|---|---|---|---|---|
| 09/489,561 | 01/21/2000 | 2762 | 1140 | STL000025US1 | 36 | 45 | 3 |

RECEIVED MAY 30 2000

Ingrid M Foerster Esq
IBM Corporation Intellectual Property Law
555 Bailey Avenue J46G475
San Jose, CA 95141-1003

JUN 0 5 2000
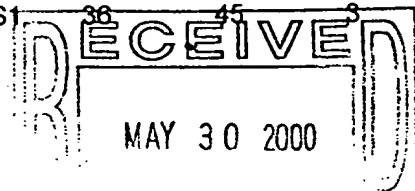
Date Mailed: 04/07/2000

Receipt is acknowledged of this nonprovisional Patent Application. It will be considered in its order and you will be notified as to the results of the examination. Be sure to provide the U.S. APPLICATION NUMBER, FILING DATE, NAME OF APPLICANT, and TITLE OF INVENTION when inquiring about this application. Fees transmitted by check or draft are subject to collection. Please verify the accuracy of the data presented on this receipt. If an error is n ted on this Filing Receipt, please write to the Office of Initial Patent Examination's Customer Service Center. Please provide a copy of this Filing Receipt with the changes noted thereon. If you received a "Notice to File Missing Parts" for this application, please submit any corrections to this Filing Receipt with your reply to the Notice. When the PTO processes the reply to the Notice, the PTO will generate another Filing Receipt incorporating the requested corrections (if appropriate).

**Applicant(s)**

William J. Baer, Residence, NOT PROVIDED;

**C ntinuing Data as Claimed by Applicant**

**Foreign Applications**

**If Required, Foreign Filing License Granted** 04/07/2000

\*\*

**Title**

Method and configurable model for storing hierarchical data in a non-hierarchical data respository

Method and configurable model for storing hierarchical data in a non-hierarchical data repository.

**Preliminary Class**

717

**Data entry by :** BARNES, CAROL          **Team :** OIPE          **Date:** 04/07/2000

IBM Docket No. **STL000025US1** (PATENT)

In re Application of: William J. Baer et al.
**Serial No.** 09/489,561        **Group No.** 2762
**Filed:** January 21, 2000
**Title:** Method and Configurable Model for Storing Hierarchical Data in a
       Non-hierarchical Data Repository

**Attn: APPLICATION PROCESSING DIVISION**
**Customer Correction Branch**
**ASSISTANT COMMISSIONER FOR PATENTS**
**WASHINGTON, DC 20231**

### REQUEST FOR CORRECTED FILING RECEIPT

Dear Sir:

       Please be advised that the Filing Receipt for the above-identified application
is incorrect because of the following:

       <u>TITLE:</u> In the title please change the word "respository" to read
               -- repository --

In support of this request a copy of the original Filing Receipt showing this error
and a copy of the original Transmittal sheet and the front page of the
Specificiation mailed with the Application on January 21, 2000 showing the correct
spelling of --repository-- are attached.

Correction of the records of the United States Patent Trademark Office and issuance
of a corrected Filing Receipt are respectfully solicited.

                                    Respectfully submitted,
                                    William J. Baer, et al.

Date: May 31, 2000

                                    Ingrid M. Foerster
                                    Registration No. 36,511
                                    Attorney for Applicant(s)
                                    Telephone (408) 463-5675
                                    IBM Corporation
                                    Intellectual Property Law
                                    Dept. J46/G467
                                    555 Bailey Avenue
                                    San Jose, CA 95141-1003

S/N 09/489,561

FORM PTO-1083/Modified                           IBM Docket No. __STL0000250S1__ (PATENT)

**In re application of:** William J. Baer et al.
**Serial No.** 09/489,561          Group No. 2762.
**Filed:** January 21, 2000
**Title:** Method and Configurable Model for Storing Hierarchical Data in a
          Non-hierarchical Data Repository

**ASSISTANT COMMISSIONER FOR PATENTS**
**WASHINGTON, DC  20231**

SIR:

Transmitted herewith in the above-identified application are:

| | |
|---|---|
| X | Request for Corrected Filing Receipt; |
| X | Photocopy of Incorrect Filing Receipt; |
| X | Photocopy of Transmittal mailed 1/21/00; |
| X | Photocopy of the Title Page of the Application |
| X | Return Postcard. |

The fee has been calculated as shown below:

| CLAIMS REMAINING AFTER AMENDMENT | | HIGHEST NO. PREVIOUSLY PAID FOR | | PRESENT EXTRA | RATE | ADDIT. FEE |
|---|---|---|---|---|---|---|
| TOTAL | MINUS | 20 | = | 0 | x 18. = | $ .00 |
| INDEP. | MINUS | 6 | = | 0 | x 78 = | $ .00 |
| FIRST PRESENTATION OF MULTIPLE DEP. CLAIM | | | | | +260 = | $ . |
| | | | | | TOTAL | $ |

| | |
|---|---|
| X | The Commissioner is hereby authorized to charge payment of the following fees associated with this communication or credit any overpayment to Deposit Account __09-0460__. **A duplicate copy of this sheet is attached.** |

    X   Any filing fees under 37 CFR 1.16 for the presentation of extra claims.
    X   Any patent application processing fees under 37 CFR 1.17.

**CERTIFICATE OF MAILING**

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Person mailing/paper/fee.
**Jeanette Berry Durbin**

Signature _____

Respectfully submitted,
William J. Baer, et al.

Ingrid M. Foerster
Registration No. 36,511
Attorney for Applicant(s)
Telephone (408) 463-5675
IBM Corporation
Intellectual Property Law
Dept. J46/G464
555 Bailey Avenue
San Jose, CA  95141-1003

S/N 09/489,561

# IN THE UNITED STATES PATENT AND TRADEMARK OFFICE
## UTILITY PATENT APPLICATION TRANSMITTAL
### UNDER 37 CFR 1.53(b)

JUN 0 5 2000

| | |
|---|---|
| *Attorney Docket No.* • | ŜTL000025US1 |
| *Inventor(s)* | William J. Baer et al., |
| *Express Mail Label No.* | EJ495233803US |
| *Filing Date* | January 21, 2000 |

*Address to:*
Box Patent Application
Assistant Commissioner for Patents
Washington, DC 20231

RECEIVED JUL 12 2000 TECH CENTER 2700

*Title of Application:* A METHOD AND CONFIGURABLE MODEL FOR STORING HIERARCHICAL DATA INTO A NON-HIERARCHICAL DATA REPOSITORY

*Transmitted with the patent application are the following:*

| | | |
|---|---|---|
| 156 | Page(s) | Specification, Claims and Abstract |
| 63 | Pages | Appendix |
| 36 | Page(s) | Informal drawings |
| | Page(s) | Declaration and Power of Attorney |
| | Page(s) | Assignment of the Invention to International Business Machines Corporation |
| | Page(s) | Information Disclosure Statement (IDS/PTO 1449) (copies of citations not included in number of pages) |
| | | Copies of IDS citations |
| X | | Return Receipt Postcard (MPEP 503). |

*This application is a:/*
__ Continuation __ Divisional __ Continuation-in-Part    of prior application Serial No. _____,
*Prior application information:*    Examiner: _____    Group Art Unit: _____

*Fee Calculation:*

| | Claims | | Extra | Rate | Fees |
|---|---|---|---|---|---|
| *Basic Fee* | | | | | $690.00 |
| *Total Claims* | 45 | -20 = | 25 | x $18.00 | $450.00 |
| *Independent Claims* | 3 | -3 = | | x $78.00 | |
| *Multiple Dependent Claims* | | | | +$260.00 | |
| | | | | | |
| | | | | TOTAL | $1140.00 |

__X__ Please charge my Deposit Account No. __09-0460__ in the amount of $ 1140.00 . A duplicate copy of this sheet is attached.

__X__ The Commissioner is hereby authorized to charge payment of the following fees associated with this communication or credit any overpayment to Deposit **Account 09-0460** . **A duplicate copy of this sheet is attached.**

__X__ Any filing fees under 37 CFR 1.16 for the presentation of extra claims.

__X__ Any patent application processing fees under 37 CFR 1.17.

### EXPRESS MAIL CERTIFICATE

I hereby certify that the above paper/fee is being deposited
with the United States Postal Service "Express Mail Post Office to Addressee"
service under 37 CFR 1.10 on the date indicated below and is addressed
to the Assistant Commissioner for Patents, Washington, DC 20231.

Date of Deposit: **January 21, 2000**

Person Mailing paper/fee: Jeanette Berry Durbin

Signature: _____

Respectfully submitted,
William J. Baer , et al.,

Ingrid M. Foerster, Esq.,
Registration No. # 36,511
Attorney for Applicants
Telephone (408) 463-5675
IBM Corporation
Intellectual Property Law
555 Bailey Avenue (J46/G475)
San Jose, CA 95141-1003

# A METHOD AND CONFIGURABLE MODEL FOR STORING HIERARCHICAL DATA IN A NON-HIERARCHICAL DATA REPOSITORY

5   **CROSS REFERENCE TO RELATED APPLICATIONS**

This application is related to the co-pending and commonly assigned patent applications listed below, which were filed herewith on January 21, 2000 and are all incorporated by reference herein:

10

**A System and Method for Creating Compilations of Content**
Serial No. __/___,___ ( Our reference Docket # STL000012US1)

**Method and System for Adding Content to a Content Object Stored in a Data Repository**
15   Serial No. __/___,___ (Our reference Docket # STL000013US1)

**Method and System for Adding User-Provided Content to a Content Object Stored in a Data Repository**
Serial No. __/___,___ (Our reference Docket # STL000014US1)

20

**Method and System for Moving Content in a Content Object Stored in a Data Repository**
Serial No. __/___,___ (Our reference Docket # STL000015US1)

**Method and System for Removing Content in a Content Object Stored in a Data Repository**
25   Serial No. __/___,___ (Our reference Docket # STL000016US1)

**Prerequisite Checking in a System for Creating Compilations of Content**
Serial No. __/___,___ (Our reference Docket # STL000017US1)

30   **Method and System forPreventing Mutually Exclusive Content Entities Stored in a Data Repository**
Serial No. __/___,___ (Our reference Docket # STL000018US1)

**Volume Management Method and System for a Compilation of Content**
Serial No. __/___,___ (Our reference Docket # STL000019US1)

35

**Method and System for Calculating Cost of a Compilation of Content**
Serial No. __/___,___ (Our reference Docket # STL000020US1)

**Method and System for Storing Hierarchical Content Objects in a Data Repository**
40   Serial No. __/___,___ (Our reference Docket # STL000021US1)

**File Structure for Storing Content Objects in a Data Repository**
Serial No. __/___,___ (Our reference Docket # STL000022US1)

45   **Providing a Functional Layer for Facilitating Creation and Manipulation of  Compilations of Content**
Serial No. __/___,___ (Our reference Docket # STL000023US1)

**A Hitmask for Querying Hierarchically Related Content Entities**
50   Serial No. __/___,___ (Our reference Docket # STL990182US1)

**FORMALITIES LETTER**

|||||||||||||||||||||||||||||||||||||||||||||||||||||||

*OC000000005037111*

**UNITED STATES DEPARTMENT OF COMMERCE**
**Patent and Trademark Office**

Address: COMMISSIONER OF PATENT AND TRADEMARKS
Washington, D.C. 20231

| APPLICATION NUMBER | FILING/RECEIPT DATE | FIRST NAMED APPLICANT | ATTORNEY DOCKET NUMBER |
|---|---|---|---|
| 09/489,561 | 01/21/2000 | William J. Baer | STL000025US1 |

Ingrid M Foerster Esq
IBM Corporation Intellectual Property Law
555 Bailey Avenue J46G475
San Jose, CA 95141-1003

OIPE
JUN 0 5 2000

Date Mailed: 04/07/2000

## NOTICE TO FILE MISSING PARTS OF NONPROVISIONAL APPLICATION

### FILED UNDER 37 CFR 1.53(b)

*Filing Date Granted*

An application number and filing date have been accorded to this application. The item(s) indicated below, however, are missing. Applicant is given TWO MONTHS from the date of this Notice within which to file all required items and pay any fees required below to avoid abandonment. Extensions of time may be obtained by filing a petition accompanied by the extension fee under the provisions of 37 CFR 1.136(a).

- The oath or declaration is missing.
  *A properly signed oath or declaration in compliance with 37 CFR 1.63, identifying the application by the above Application Number and Filing Date, is required.*
- To avoid abandonment, a late filing fee or oath or declaration surcharge as set forth in 37 CFR 1.16(e) of $130 for a non-small entity, must be submitted with the missing items identified in this letter.
- **The balance due by applicant is $ 130.**

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*A copy of this notice MUST be returned with the reply.*

Customer Service Center
Initial Patent Examination Division (703) 308-1202

PART 2 - COPY TO BE RETURNED WITH RESPONSE

06/07/2000 SSESHE1 00000012 09489561

01 FC:105        130.00 CH